

NORTHERN PLAINS AREA Policy Memorandum

DATE:	November 21, 2005
SUBJECT:	ARS-115 and Posting Copies of Approved Manuscripts/Publications to Websites
NUMBER:	PM-06-001
EFFECTIVE DATE:	November 21, 2005 (Supersedes PM-04-001, issued April 23, 2004)

1. Purpose

An ARS-115 *"Request to Submit Manuscript for Publication"* is required whenever an ARS employee wishes to publish any kind of publication. In addition, it is also required whenever an employee is to present a paper, talk, poster, etc., at any scientific meeting, specifically in which a publication such as an abstract and/or proceedings are to be published, including CDROM, video streaming, and any in-house Unit/Location/Main ARS website and/or official journal/publication website.

2. Requirements for Submission of an ARS-115

- C All ARS-115's must be entered into ARIS, and line management approvals from all levels (RL/LD/CD, Area, NPS and/or OTT as applicable) must be obtained, **prior** to submitting the publication to the journal, and/or giving the presentation, including posting the publication to ARS Unit/Location and/or official journal/publication websites.
- C Publications listing CRADA Cooperators/Non-ARS Authors: The Unit/Location ARIS User is not authorized to release the ARS-115 to the next approval level until a copy of each CRADA Cooperator/Non-ARS Author clearance is provided. All clearance authorizations must be on file with the ARS-115 in the official Unit/Location files.
- C The ARS employee initiating the ARS-115 is responsible for obtaining CRADA Cooperator/Non-ARS Author clearance approvals from all authors, and ARS-533 Peer Review forms.

3. Use of websites for posting electronic copies of manuscripts/publications

- C **Units/Locations may post a pdf of the manuscript on their in-house website.**
- C **Do not post or use a pdf of the official journal reprint due to copyright issues.**
- C Manuscripts/publications that have not been officially published or cleared through the ARIS Tektran process may not be posted to the Unit/Location in-house website. The ARIS mechanism of adding the Acceptance and Publication Dates, and generating the Citation, allows the ARS-115 to migrate to Tektran. Once the ARS-115 has migrated to Tektran it is then linked to the publications list for the unit on the ARS website (<http://www.ars.usda.gov>).
- C The URL block in the ARS-115 is to be used for listing the official journal/publication website only. It is **not** to be used for entering the Unit/Location in-house and/or main ARS website link.

4. **Delegation of Authority**

- C Center/Lab Directors and Research Leaders without a Center/Lab Director continue to have the delegated authority for Location approval of their unit's publications. Included in the delegated authority is responsibility for approving authorship.
- C **EXCEPTION:** ARS-115's marked Yes as a "High Profile Issue" (also known as "Sensitive Issue") will continue to be automatically forwarded to the Area Office for review and approval and release to NPS and/or OTT. Refer to Chapter 5 entitled 115 Manuscript Approval located at <http://www.npstaff.ars.usda.gov/ARIS/Manual>

5. **Accountability**

- C The RL is responsible for verifying the CRADA Cooperator/Non-ARS Author clearance approvals, and/or ARS-533 Peer Review forms, have been received and are credible. All copies of the ARS-533 Peer Review forms for every peer-reviewed manuscript submission must be in the official ARS-115 file maintained by the Unit/Location.
- C The RL/LD/CD line management approvals are required before the ARS-115 can be released to the next level of review. RL/LD/CD signatures must be handwritten, or initialed, authorizing release of the ARS-115. The original signature ARS-115 ARIS printout must be maintained in the official ARS-115 file at the Research Unit/Location level.
- C The Submitter of the ARS-115: Must be an active ARS Cat. 1 or 4 employee.
- C The Research Unit has the discretion to determine if the Research Leader will be listed as the Submitter.
- C Post-docs may be listed as authors but cannot be listed as the Contact or Submitter. (This is an ARIS system requirement and cannot be modified).

6. **Purpose of the Non-ARS author clearance**

- C Indicates approval by all CRADA Cooperators and/or Non-ARS authors that the Interpretive Summary, Technical Abstract, and Affiliation may be released to the public.
- C CRADA Cooperator and/or Non-ARS author clearances can be obtained via E-mail, official letter/memo, or the Unit/Location in-house forms created for this purpose.
- C Verbal authorizations are **not** acceptable.
- C Checking the "hold" blocks for Tektran reporting does **not** release the ARS employee from obtaining CRADA Cooperator and/or Non-ARS Author clearance approvals.

If the publication supports CRADA research:

- C The CRADA number must be identified.
- C The CRADA Cooperator must provide written clearance.
- C A copy of the CRADA Cooperator clearance authorization must be sent to the NPA Technology Transfer Coordinator.

7. Date Submitted to Journal and Acceptance and Publication Dates

- C The ARS scientist is required to provide all three dates to the ARIS User as soon as each date is known.
- C Date Submitted to Journal (also referred to as the Submission Date): the ARS scientist must provide the date he/she is submitting the publication to the journal. (This is **not** the same as the date the ARS-115 is entered into ARIS).
- C Entry of each of these dates into ARIS is critical to the process of transmitting publication information to the Tektran and USDA, ARS main web site in a timely manner.
- C The publication cannot be used in the annual ARS-421 Progress Report unless there is an approved "*ARS-115 Manuscript Approval*" for every publication, which does not occur until Acceptance and Publication dates are entered and the Citation field is completed.

8. Compliance and Monitoring

- C Annual ARMPS reviews will include the review of ARS-115 files for randomly selected unit employees. Files will be audited for CRADA Cooperator/Non-ARS Author clearance approvals, and credible ARS-533 Peer Review forms, and the use of ARS and/or official journal /publication websites.

9. Questions, Assistance, Guidance

- C Cooperator clearance for Non-ARS Authors and/or High Profile Issues (also known as "Sensitive Issues"). Dr. Larry Chandler, Associate Area Director.
(970)492-7058; larry.chandler@ars.usda.gov
- C CRADA Cooperator notifications/clearances and CRADA related research; Patents and Inventions. Dr. Bryan Kaphammer, NPA Technology Transfer Coordinator.
(970)492-7028; bryan.kaphammer@ars.usda.gov
- C ARIS data entry: Marcie Currie-Gross, Extramural Agreements Specialist.
(970)492-7022; marcie.currie-gross@ars.usda.gov

/s/
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